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Docket No.: M-9727 US

January 4, 2002

Commissioner For Patents  
Washington, D.C. 20231

Re: Applicants: Robert J. Small and Xiaowei Shang  
Assignee: EKC Technology, Inc.  
Title: Chemical-Mechanical Planarization Using Ozone  
Serial No.: 09/783,069  
Examiner: Le, Thao P. Filed: February 13, 2001  
Docket No.: M-9727 US Group Art Unit: 2818

Sir:

Transmitted herewith are the following documents in the above-identified application:

- (1) Return Receipt Postcard;
- (2) This Transmittal Letter (in duplicate);
- (3) Response to Restriction Requirement;
- (4) Preliminary Amendment;
- (5) Substitute Specification (marked); and
- (6) Substitute Specification (unmarked).

- ☒ No additional fee is required.  
☐ The fee has been calculated as shown below:

- ☐ Please charge our Deposit Account No. 19-2386 in the amount of \$ 0.00  
☒ Also, charge any additional fees required and credit any overpayment to our Deposit Account No. 19-2386.

Total: \$ 0.00

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Respectfully submitted,

*Alison de Runtz*  
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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicants: Robert J. Small and Xiaowei Shang  
Assignee: EKC Technology, Inc.  
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**PRELIMINARY AMENDMENT**

Sir:

A restriction requirement has been received by Applicants in the above-referenced application, and a response thereto is submitted herewith. Entry of this preliminary amendment and consideration thereof are hereby requested, prior to a consideration of said response and further consideration of this application.

**IN THE SPECIFICATION**

Please replace the specification, other than the claims, with the substitute specification that appears in clean form in Appendix I hereto. (Page 13 and Page 14 of the substitute specification are blank but for the "**CLAIMS**" heading on Page 13.) A copy of the substitute specification that is marked to show the changes made appears in Appendix II hereto. The substitute specification includes no new matter.

**IN THE CLAIMS**

Please amend claims 4 and 12, such that they read respectively as set forth below. A copy of the amended claims, marked to show the changes made, appears in Appendix III hereto. A copy of all of the pending claims, in clean form, appears in Appendix IV hereto.

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